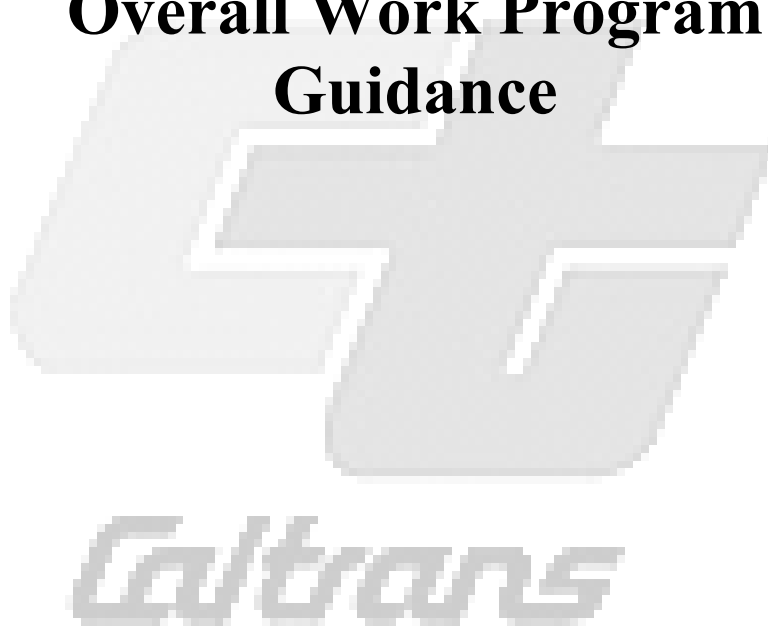


**FY 2003/2004**

# **Metropolitan Planning Organization Overall Work Program Guidance**



**For individuals with sensory disabilities, this document is available in Braille, large print, on audiocassette, or compute disk. To obtain a copy in one of these alternate formats, please call or write to the California Department of Transportation Office of Regional and Interagency Planning, 1120 N Street, Room 5302, (MS-32), Sacramento, California 95814. Or call (916) 653-2355 or (800) 735-2929 TTY.**

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**SECTION 1**  
**Consolidated Planning Grant Estimates for FY 2003/2004**

**FHWA Metropolitan Planning (PL) Allocation**  
**Estimate for FY 2003/2004**

Southern California Association of Governments (SCAG)	<b>\$12,541,117</b>
Metropolitan Transportation Commission (MTC)	<b>\$5,054,744</b>
San Diego Association of Governments (SANDAG)	<b>\$2,341,655</b>
Sacramento Area Council of Governments (SACOG)	<b>\$1,730,094</b>
Council of Fresno County Governments (COFCG)	<b>\$908,111</b>
Kern Council of Governments (KCOG)	<b>\$813,144</b>
Association of Monterey Bay Area Governments (AMBAG)	<b>\$796,840</b>
San Joaquin Council of Governments (SJCOG)	<b>\$750,563</b>
Stanislaus Area Association of Governments (StanCOG)	<b>\$648,463</b>
Santa Barbara County Association of Governments (SBCAG)	<b>\$597,690</b>
Tulare County Association of Governments (TCAG)	<b>\$586,769</b>
Merced County Association of Governments (MCAG)	<b>\$468,704</b>
San Luis Obispo Council of Governments (SLOCOG)	<b>\$467,377</b>
Butte County Association of Governments (BCAG)	<b>\$448,498</b>
Shasta County Regional Transportation Planning Agency (SHASTA)	<b>\$412,344</b>
Kings County Association of Governments	<b>\$410,085</b>
Madera Council of Governments	<b>\$407,762</b>
Tahoe Metropolitan Planning Organization (TMPO)	<b>\$344,202</b>
<b>TOTAL</b>	<b>\$29,728,163</b>

The formula for PL funds is divided into two components: an air quality component based on the proportion of Congestion Mitigation/Air Quality (CMAQ) funds to total programmatic PL fund sources, and a population component based upon proportion of total population of each MPO using Department of Finance's January estimates.

***These funds are only available after passage of the State Budget and on a reimbursement basis.***

**FTA Metropolitan Planning (Section 5303) Estimate for federal FY 2003/2004**

Southern California Association of Governments (SCAG)	<b>\$4,924,512</b>
Metropolitan Transportation Commission (MTC)	<b>\$1,954,527</b>
San Diego Association of Governments (SANDAG)	<b>\$846,644</b>
Sacramento Area Council of Governments (SACOG)	<b>\$499,217</b>
Council of Fresno County Governments (COFCG)	<b>\$187,559</b>
Association of Monterey Bay Area Governments (AMBAG)	<b>\$179,350</b>
San Joaquin Council of Governments (SJCOG)	<b>\$172,757</b>
Kern Council of Governments (KCOG)	<b>\$138,179</b>
Stanislaus Area Association of Governments (StanCOG)	<b>\$133,306</b>
Santa Barbara County Association of Governments (SBCAG)	<b>\$130,748</b>
Tulare County Association of Governments (TCAG)	<b>\$71,068</b>
Merced County Association of Governments (MCAG)	<b>\$49,356</b>
San Luis Obispo Council of Governments (SLOCOG)	<b>\$48,665</b>
Shasta County Regional Transportation Planning Agency (SHASTA)	<b>\$47,734</b>
Butte County Association of Governments (BCAG)	<b>\$42,744</b>
Madera Council of Governments	<b>\$33,044</b>
Kings County Association of Governments	<b>\$30,548</b>
<b>TOTAL</b>	<b>\$9,489,958</b>

The Section 5303 fund formula provides \$15,000 per MPO base allocation, with the remainder distributed according to each MPO's statewide percentage of urbanized area population as per the most recent census.

***These funds are only available after passage of the State Budget and are on a reimbursement basis.***

The complete cycle of an OWP from draft through closeout is approximately 30 months.

2001/2002 Overall Work Program Close Out Prior Year		2002/2003 Overall Work Program Accomplish Current Year	2003/2004 Overall Work Program -- Draft, Review, Adopt, Approve Next Year
July 1-June 30 = State Fiscal Year			
Jul – 01	<u>July 31</u> , Q4 Progress Report due to District.	After passage of the State Budget, Accounting encumbers funds for MPOs using complete and accurate OWPs/OWPAs. MPOs begin work.	
Aug – 01	<u>August 15</u> , Q4 Progress Report due to ORIP <u>By August 31</u> , Year End Package due to District. **		
Sep – 01	<u>September 15</u> , Year-End Package due to ORIP. **		
October 1- September 30 = Federal Fiscal Year			
Oct – 01		<u>October 31</u> , Q1 Progress Report due to District. FHWA PL actual #s for 2002/2003 after passage of federal budget, ORIP notifies Districts. Districts notify MPOs. MPOs amend OWPs/OWPAs to show actual PL #s.	<u>October – December</u> , Annual IPG Interagency Meeting, Federal budget passed, FTA Certs and Assurances, FHWA Planning Certs., Tentative MPO IPG meeting schedule, FHWA/FTA issue PEAs, FTA §5303 actual #s, FHWA PL estimate #s, ORIP's annual OWP Guidance.
Nov – 01		<u>November 15</u> , Q1 Progress Report due to ORIP.	<u>November – June</u> MPOs/RTPAs draft, circulate and finalize OWPs.
Dec – 01			
Jan – 02	<u>January 1</u> , Annual Fiscal and Compliance Audit Report due to District	<u>January 31</u> , Q2/mid-year Progress Report due to District. <u>January-February</u> , District mid-year OWP status meeting with MPOs.	<u>February - May</u> Individual MPO IPG meetings, <b>MPO draft OWPs due 30 days before IPG meeting, but no later than March 1</b> , Districts review and circulate draft OWPs.
Feb – 02	<u>February 15</u> , Districts send Annual Fiscal and Compliance Audit Reports to Audits, ORIP, Accounting and FHWA.	<u>February 15</u> , Q2/mid-year Progress Report due to ORIP.	MPO Indirect Cost Negotiation Agreements and Cost Allocation Plans due to Districts (Districts forward to Audits).
Mar – 02			<u>March 1</u> Latest date to submit draft OWP to District.
Apr – 02		<u>April 1</u> , deadline for 2002/2003 OWP amendments (complete package due to ORIP). <u>April 30</u> , Q3 Progress Report due to District.	<u>April-May</u> , District year-end OWP status meetings with MPOs.
May – 02		<u>May 15</u> , Q3 Progress Report due to ORIP.	
Jun – 02			Final, adopted OWPs due, Districts approve OWPs, FHWA/FTA approve MPO OWPs.
July 1-June 30 = State Fiscal Year			
Jul – 02		<u>July 31</u> , Q4 Progress Report due to District.	Before <u>July 1</u> , Final approved and adopted OWP and fully executed OWPA due to ORIP. After passage of the State Budget, Accounting encumbers funds for MPOs using complete and accurate OWPs/OWPAs.
Aug – 02		<u>August 15</u> , Q4 Progress Report due to ORIP. <u>August 31</u> , Year End Package due to District.	
Sep – 02		<u>September 15</u> , Year End Package due to ORIP**.	

\*\* The Year End Package includes a Certification of Expenditure by Fund Source including the Final Statement of Expenditures attachment and the last Request for Reimbursement for the OWP cycle clearly marked "FINAL".

### SECTION 3 Planning Emphasis Areas (PEAs)

FTA/FHWA identify Planning Emphasis Areas (PEAs) annually to promote priority themes for consideration, as appropriate, in transportation planning. For FY 2003, they are continuing with the five PEAs originally identified for FY 2002.

1. Safety and Security in the Transportation Planning Process. TEA-21 emphasized the safety and security of transportation systems as a national priority and calls for transportation projects and strategies that "increase the safety and security of transportation systems." This entails integration of safety and facility security at all stages of transportation planning.

A report prepared by the Transportation Research Board, Transportation Research Circular E-C02, "Safety-Conscious Planning," describes the issues and recommendations identified at a January 2001 workshop. See their website at [www.nas.edu/trb](http://www.nas.edu/trb). An Institute of Transportation Engineers-prepared discussion paper, "The Development of the Safer Network Transportation Planning Process," is posted on their website: [www.ite.org](http://www.ite.org).

2. Integrated Planning and Environmental Processes. TEA-21 mandated elimination of the Major Investment Study as a stand-alone requirement, while integrating the concept within planning and project development/environmental review. A training, "Linking Planning and NEPA", is being developed and will be available at: [www.ntionline.com](http://www.ntionline.com).

3. Consideration of Management and Operations within Planning Processes. TEA-21 challenged transportation entities to move beyond traditional capital programs to improve the movement of people and goods, to focus on the need to improve the way transportation systems are managed and operated. FTA/FHWA convened a working group and commissioned discussion papers; see <http://plan2op.fhwa.dot.gov>.

4. Consultation with Local Officials. Consultation with local officials is vital in transportation planning. In metropolitan areas, the MPO provides the venue and policy context for this. In California, rural RTPAs provide the venue and policy context for this outside urban areas. FTA/FHWA review statewide planning to ensure effective consultation between States and local officials, particularly in making findings to support Federal State Transportation Improvement Program approvals.

5. Enhancing the Technical Capacity of Planning Processes. Reliable information about current and projected usage and performance of transportation systems enables decision-makers to support plans and programs that respond to their locality's unique needs and policy issues. To ensure the reliability of such information, data sources, forecasting models and tools, and staff expertise need to be evaluated. If any of these is found to be lacking, the responsible planning agency is encouraged to devote resources to enhance and maintain technical capacity.

## SECTION 4

### Federal Certifications

FHWA and FTA require MPOs to annually self-certify their planning process. Fully executed versions of the FHWA and FTA certifications must be provided with each adopted, Final OWP.

*This is the anticipated Certification for 2003/2004.*

#### FHWA Metropolitan Transportation Planning Process Certification

In accordance with 23 CFR 450.334 and 450.220, and the Transportation Equity Act for the 21<sup>st</sup> Century, Caltrans and the \_\_\_\_\_ Metropolitan Planning Organization for the \_\_\_\_\_ urbanized area(s) hereby certify that the transportation planning process is addressing the major issues in the metropolitan planning area and is being conducted in accordance with all applicable requirements of:

- I. 23 U.S.C. 134 and 135, 49 U.S.C. 5303 through 5306 and 5323(1);
- II. Sections 174 and 176 (c) and (d) of the Clean Air Act as amended (42 U.S.C. 7504, 7506 (c) and (d)) (**Note – only for Metropolitan Planning Organizations with non-attainment and/or maintenance areas within the metropolitan planning area boundary**);
- III. Title VI of the Civil Rights Act of 1964 and the Title VI Assurance executed by California under 23 U.S.C. 324 and 29 U.S.C. 794;
- IV. Section 1101(b) of the Transportation Equity Act for the 21<sup>st</sup> Century (Pub. L. 105-178 112 Stat. 107) regarding the involvement of disadvantaged business enterprises in the FHWA and FTA funded projects (FR Vol. 64 No. 21, 49 CFR part 26); and,
- V. The provision of the Americans With Disabilities Act of 1990 (Pub. L. 101-336, 104 Stat 327, as amended) and the U.S. DOT implementing regulations (49 CFR 27, 37 and 38).

\_\_\_\_\_  
MPO Authorizing Signature

\_\_\_\_\_  
Caltrans District Director Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

## FTA Certifications and Assurances

*Pages 8-10 show the anticipated FTA Certifications and Assurances for 2003/2004.*

*(The entire certification must be appropriately completed and signed as indicated.)*

**Name of Applicant:** \_\_\_\_\_

**The Applicant agrees to comply with applicable requirements of Categories 1 - 16.**  
(The Applicant may make this selection in lieu of individual selections below.)

OR

**The Applicant agrees to comply with the applicable requirements of the following Categories it has selected:**

- \_\_\_\_\_ 1. Certifications and Assurances Required of Each Applicant.
- \_\_\_\_\_ 2. Lobbying Certification.
- \_\_\_\_\_ 3. Certification Pertaining to Effects on Private Mass Transportation Companies.
- \_\_\_\_\_ 4. Public Hearing Certification for a Project with Substantial Impacts.
- \_\_\_\_\_ 5. Certification for the Purchase of Rolling Stock.
- \_\_\_\_\_ 6. Bus Testing Certification.
- \_\_\_\_\_ 7. Charter Service Agreement.
- \_\_\_\_\_ 8. School Transportation Agreement.
- \_\_\_\_\_ 9. Certification for Demand Responsive Service.
- \_\_\_\_\_ 10. Prevention of Alcohol Misuse and Prohibited Drug Use Certification.
- \_\_\_\_\_ 11. Certification Required for Interest and Other Financing Costs.
- \_\_\_\_\_ 12. Intelligent Transportation Systems Program Assurance.
- \_\_\_\_\_ 13. Certifications and Assurances for the Urbanized Area Formula Program, the Job Access and Reverse Commute Program, and the Clean Fuels Formula Program.
- \_\_\_\_\_ 14. Certifications and Assurances for the Elderly and Persons with Disabilities Program.
- \_\_\_\_\_ 15. Certifications and Assurances for the Nonurbanized Area Formula Program.
- \_\_\_\_\_ 16. Certifications and Assurances for the State Infrastructure Bank (SIB) Program.

*Required of all Applicants for FTA assistance and FTA Grantees with an active capital or formula project.*

Name of Applicant: \_\_\_\_\_

Name and Relationship of Authorized Representative: \_\_\_\_\_

BY SIGNING BELOW I, \_\_\_\_\_ (name), on behalf of the Applicant, declare that the Applicant has duly authorized me to make these certifications and assurances and bind the Applicant's compliance. Thus, the Applicant agrees to comply with all Federal statutes, regulations, executive orders, and administrative guidance required for each application it makes to the Federal Transit Administration (FTA) in Federal Fiscal Year 2003.

FTA intends that the certifications and assurances the Applicant selects on the other side of this document, as representative of the certifications and assurances in Appendix A, should apply, as required, to each project for which the Applicant seeks now, or may later, seek FTA assistance during Federal Fiscal Year 2003.

The Applicant affirms the truthfulness and accuracy of the certifications and assurances it has made in the statements submitted herein with this document and any other submission made to FTA, and acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801 *et seq.*, as implemented by U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31 apply to any certification, assurance or submission made to FTA. The criminal fraud provisions of 18 U.S.C. 1001 apply to any certification, assurance, or submission made in connection with the Urbanized Area Formula Program, 49 U.S.C. 5307, and may apply to any other certification, assurance, or submission made in connection with any other program administered by FTA.

In signing this document, I declare under penalties of perjury that the foregoing certifications and assurances, and any other statements made by me on behalf of the Applicant are true and correct.

Signature \_\_\_\_\_  
Date: \_\_\_\_\_

*Applicant's Attorney*

*Each Applicant for FTA financial assistance (except 49 U.S.C. 5312(b) assistance) and each FTA Grantee with an active capital or formula project must provide an Attorney's affirmation of the Applicant's legal capacity.*

AFFIRMATION OF APPLICANT'S ATTORNEY

for \_\_\_\_\_ (Name of Applicant)

As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under state and local law to make and comply with the certifications and assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the certifications and assurances have been legally made and constitute legal and binding obligations on the Applicant.

I further affirm to the Applicant that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these certifications and assurances, or of the performance of the project.

Signature \_\_\_\_\_ Date: \_\_\_\_\_

Name \_\_\_\_\_

**SECTION 5**  
**Intermodal Planning Group (IPG)**

**Draft IPG Schedule**

Please contact Bob O'Loughlin at FHWA, with any change requests.

<u><b>MPO</b></u>	<u><b>Location</b></u>	<u><b>Day</b></u>	<u><b>Month</b></u>	<u><b>Date</b></u>	<u><b>Time</b></u>
SBCAG	Goleta	Tues.	February	25	9:30 AM
SLOCOG	San Luis Obispo	Wed.	February	26	9:30 AM
MCAG	Merced	Tues.	March	4	1:00 PM
StanCOG	Modesto	Wed..	March	5	10:00 AM
SJCOG	Stockton	Thurs.	March	6	1:00 PM
MTC	Oakland	Wed.	March	12	10:00 AM
AMBAG	Monterey	Thurs.	March	14	10:00 AM
KCOG	Bakersfield	Tues.	March	18	2:00 PM
TCAG	Visalia	Wed.	March	19	10:00 AM
COFCG	Fresno	Wed.	March	19	1:00 PM
Madera	Madera	Thurs.	March	20	10:00AM
Kings	Hanford	Thurs.	March	20	1:00 PM
Shasta	Redding	?	April	?	?
BCAG	Chico	?	April	?	?
SANDAG	San Diego	Tues.	April	8	10:00 AM
SACOG	Sacramento	Wed.	April	9	10:00 AM
TMPO	Tahoe	Thurs.	April	10	10:00 AM
SCAG	Los Angeles	Wed.	April	23	10:00 AM

**IPG Themes**

Each year at the IPG meetings, FHWA/FTA have particular themes of discussion. The themes for 2003 are listed below. Immediately after these is a summary of 2002 themes and concerns. Both should be considered when drafting 2003/2004 OWPs.

FHWA/FTA have indicated several themes for this year's IPG meetings: MPO agreements with transit providers, financial plans, interagency consultation in air quality non-attainment and maintenance areas, and involvement of federal engineers early on in planning and corridor studies to address environmental issues.

Agreements with transit providers: FTA requests the agreements between the MPO and the transit providers, required per 23 CFR 450.310, which they recently requested from MPOs, be submitted to FTA Region IX (attn: Mr. Jerome Wiggins, Federal Transit Administration, 201 Mission Street, Suite 2210, San Francisco, California 94105.). FTA has asked these be forwarded with the draft OWP, if possible, but made available no later than at the MPO's IPG meeting.

Financial Plans: FHWA/FTA will carefully review FY 2004/2005 FTIPs to assure there are financial plans, as per 23 CFR 450.324(e), that the financial plans were available for public review and comment along with the draft FTIPs; and the FTIP includes summary, analysis and report on the disposition of significant written and oral comment that were received on the financial plan as a result of public involvement or interagency consultation. Pursuant to 23 CFR 450.330(b), FHWA/FTA must specifically consider comments relating to the financial plans for the long range plan (RTP/MTP) and the FTIP when they make air quality conformity findings for non-attainment and maintenance areas. The critical areas are: preparation of the required financial plan, and assessment of financial condition and capability.

Interagency consultation in non-attainment and maintenance areas: FHWA/FTA will request copies of interagency consultation procedures and status of submittals of that documentation to the Environmental Protection Agency for formal approval, as required for transportation conformity and State Implementation Plan development, as per 40 CFR Parts 51 and 93. As specified by the transportation conformity requirements, Agreements shall include interagency coordination, conflict resolution, and public consultation procedures. Roles and responsibilities for each agency at each stage of SIP development and transportation planning process, including technical meetings, and a process for circulating drafts and documents and supporting material for comment before formal adoption or publication, must also be included. As some of these agreements may date from the mid-1990s, updates may be appropriate.

*At this time, we do not have elaboration from FHWA concerning early federal involvement in corridor studies. This information will be provided separately as soon as it is available to us.*

Stressed throughout the 2002 IPG meetings, the following should also be considered when developing, reviewing, and commenting on draft OWPs.

1. Planning funds may only be used for planning, not project implementation. For example, developing project study reports (PSRs), or other project initiation documents, updating rideshare participant databases, preparation of transit marketing materials are project implementation, not planning.
2. State and federal planning money may *not* be used for lobbying efforts. OWP work elements listing such activities should include a distinct disclaimer and list which non-federal and/or non-state funding sources will be used to fund them.
3. All regional agencies should have a Public Participation Plan, which is evaluated and updated every few years. With the involvement of the public, this entails review and assessment of existing methods, enhancement of what is effective, addition of new approaches, and deletion/reduction of activities, which have proved not successful.
4. Presidential Executive Order 12898, and several California state statutes emphasize environmental justice (EJ). EJ calls for special efforts to include minority, low income and other under-represented groups in transportation planning. The goal is to help

assure no disparate transportation-related benefits or dis-benefits for groups and communities. (See Appendix E, Context Sensitive Planning, for more information on this subject.)

5. Formal consultation with Native American Tribal Governments is different from public participation. Formal consultation is decision-maker to decision-maker; the Tribal Chair or designated representative interacting with the regional agency's Board or the Board's representative.
6. A Planning Emphasis Area in 2002/2003 and again in 2003/2004 is: *Safety and Security in the Transportation Planning Process*. Particularly FTA stressed the "security" component of this emphasis area. Although many regional agencies included emergency response (e.g., earth quakes, floods, mud slides, fires, etc.) activities in their OWPs, FHWA/FTA suggested the need to add preventive approaches, e.g., security devices for transit, etc. (See Section 3 hereof for more information on this subject.)
7. Environmental streamlining entails early involvement of resource agencies in planning to facilitate project delivery, and development of tools to facilitate this, e.g., GIS databases of environmentally sensitive areas, etc.
8. The 1999 *RTP Guidelines* stressed inclusion of solid purpose and need statements for the projects in the action element of Regional Transportation Plans. Urban areas will adopt RTPs in 2004 and rural areas in 2005. Solid purpose and need statements should be emphasized as RTPs are developed or updated.
9. Regional agencies are required to prepare annual progress/status reports for projects with obligated FTIP dollars.
10. If there are any intelligent transportation systems (ITS) in the region, regional agencies need to develop an ITS regional architecture by April 8, 2005, to implement the architecture, and to develop an ITS Architecture Maintenance Plan. This requirement applies if there is *any* ITS: Caltrans, city, county, transit, etc. (See Appendix F for more information on this subject.)

### **Triennial Certification Reviews**

In 2003, FHWA/FTA will conduct Triennial Certification Reviews with Santa Barbara County Association of Governments, San Diego Association of Governments and Metropolitan Transportation Commission. These will not be done at the same time as the IPG, as was previously the custom. There are no dates scheduled for these reviews, but we anticipate they will occur in the Fall.

## **Appendix A**

### **Planning Funds Descriptions**

Numerous funding sources are included in OWPs, five of which are listed below. Only the four Consolidated Planning Grant (CPG) sources are to be shown on the OWPA and invoiced using Requests for Reimbursement.

#### **FHWA Metropolitan Planning (PL) Funds**

For FY 2003/2004, the California statewide apportionment is expected to be approximately \$30 million. The exact amount will not be known until the federal 2004 budget is passed. All California's PL is divided among the MPOs per formula. MPOs should focus PL spending on the priorities identified in the Planning Emphasis Areas (PEAs). FHWA PL is one of the four CPG funding sources.

#### **FTA Metropolitan Planning Program (Section 5303) Funds**

For FY 2003/2004, the California statewide apportionment is expected to be approximately \$9.4 million. The exact amount will not be known until the federal 2003 budget is passed. All California's Section 5303 is divided among the MPOs per formula. MPOs should focus Section 5303 spending on the priorities identified in the attached PEAs. FTA Section 5303 is one of the four CPG funding sources.

#### **FTA State Planning and Research (Section 5313 (b) Discretionary Transportation Planning Grant Funds**

For FY 2002/2003, there was approximately \$1.6 million available statewide and a similar amount is anticipated for 2003/2004. Guidance and direction for this competitively funded discretionary planning grant is distributed in the Fall, with proposals due by the date specified in the guidance. FTA Section 5313(b) is one of the four CPG funding sources.

#### **FHWA State Planning and Research - Partnership Planning Element Funds**

For FY 2002/2003, there was approximately \$850,000 available statewide and a similar amount is anticipated for 2003/2004. Guidance and direction for this competitively funded discretionary planning grant is distributed in the Fall, with proposals due by the date specified in the guidance. FHWA State Planning and Research – Partnership Planning Element is one of the four CPG funding sources.

#### **Planning, Programming, and Monitoring (PPM)**

PPM funds are administered by the Office of Local Assistance. For further information, MPOs should contact their District Local Assistance Engineer. Although PPM funded planning activities should be included in the MPO's OWP, PPM funds cannot be shown on the OWPA and cannot be invoiced using the same forms and procedures as CPG. Per Section 14527 (g) of the Government Code, MPOs may use up to 1 percent of their Regional Improvement Program (RIP) funds for planning, programming and monitoring.

## **Appendix B**

### **Regional Transportation Planning Funds Uses**

A wide variety of regional transportation planning activities is an eligible use for transportation planning funds. For example:

Regional planning studies and activities:

- Participate in Federal and State Clean Air Act transportation related air quality planning activities.
- Identify and analyze issues relating to integration of transportation and community goals and objectives in land use, housing, economic development, social welfare and environmental preservation.
- Develop and/or modify tools that allow for better assessment of transportation impacts on community livability.
- Consider alternative growth scenarios that provide information on compact development and related infrastructure needs and costs.
- Participate in appropriate local level mandates.
- Involve the public in the transportation planning process.
- Establish and maintain formal consultation with Native American Tribal Governments enabling their participation in local and state transportation planning activities.
- Identify and document transportation facilities, projects and services required to meet regional and interregional mobility and access needs.
- Define solutions and implementation issues in terms of the multimodal transportation system, land use and economic impacts, financial constraints, air quality and environmental concerns (including wetlands, endangered species and cultural resources).
- Assess the operational and physical continuity of transportation system components within and between metropolitan and rural areas, and interconnections to and through regions.
- Identify the rights of way for construction of future transportation projects, including unused rights of way needed for future transportation corridors and facilities including airports and intermodal transfer stations.
- Investigate methods to reduce vehicle travel and to expand and enhance travel services.
- Incorporate transit and intermodal facilities, bicycle transportation facilities and pedestrian walkways in plans and programs where appropriate.
- Conduct transit needs assessments and prepare transit development plans and transit marketing plans as appropriate.
- Consider airport ground transportation, and transportation to ports, recreational areas and other major trip-generating sites in planning studies as appropriate.
- Develop life cycle cost analyses for all proposed transportation projects and services, and for transportation rehabilitation, operational and maintenance activities.

Regional planning consensus efforts:

- Participate with regional, local and state agencies, the general public and the private sector in planning efforts to identify and plan policies, strategies, programs and actions that maximize and implement the regional transportation infrastructure.
- Conduct collaborative public participation efforts to further extend transportation planning to communities previously not engaged in discussion.
- Create, strengthen and use partnerships to facilitate and conduct regional planning activities among California Department of Transportation (Department), MPOs, RTPAs, Native American Tribal Governments transit districts, cities, counties, the private sector and other stakeholders.
- Develop partnerships with local agencies responsible for land use decisions to facilitate coordination of transportation planning with land use, open space, job-housing balance, environmental constraints, and growth management.
- Utilize techniques that assist in community-based development of innovative transportation and land use alternatives to improve community livability, long-term economic stability and sustainable development.
- Work with appropriate agencies and developers to reach agreement on proper mitigation measures, and strategies to finance, implement and monitor these mitigation measures; after mitigation measures are implemented and determined to be effective, report status to project sponsors.
- Use partners to identify policies, strategies, programs and actions that enhance the movement of people, goods, services and information.
- Ensure that projects developed at the regional level are compatible with statewide and interregional transportation needs.
- Review the regional project screening process, ranking process, and programming guidelines ensuring comprehensive cost/benefit analysis of all project types are considered.
- Develop and implement joint work programs with transportation and air quality agencies, including transit operators, to enhance coordination efforts, partnerships, and consultation processes; eliminate or reduce redundancies, inefficient or ineffective resource use and overlapping review and approvals.
- Identify and address issues relating to international border crossings, and access to seaports, airports, intermodal transportation facilities, major freight distribution routes, national parks, recreation areas, monuments and historic sites, military installations; and military base closures.
- Conduct planning and project activities (including corridor studies, and other transportation planning studies) to identify and develop candidate projects for the FY 2004/2005 Federal Transportation Improvement Program (FTIP).
- Preserve existing transportation facilities, planning ways to meet transportation needs by using existing transportation facilities more efficiently, with owners and operators of transportation facilities/systems working together to develop operational objectives and plans which maximize utilization of existing facilities.

- Involve federal and state permit and approval agencies early and continuously in the regional transportation planning process to identify and examine issues to develop necessary consensus and agreement; collaborate with Army Corps of Engineers, National Fish and Wildlife Service, Environmental Protection Agency and other federal agencies responsible for permits and National Environmental Protection Act (NEPA) approvals and with state resources agencies for compliance with California Environmental Quality Act (CEQA).
- Document environmental and cultural resources, and develop and improve coordination between agencies using Geographic Information Services (GIS) and other computer-based tools.

Regional planning documents, consistent with federal and state requirements:

- Overall Work Programs (OWP) and Amendments
- Overall Work Program Agreements (OWPA) and Amendments
- Master Fund Transfer Agreements (MFTA)
- Regional Transportation Plans (RTP)
- Transportation Improvement Programs (TIP)
- RTP and TIP environmental compliance
- Corridor studies

**Appendix C**  
**OWP Information Element**

District staff is required to prepare a list of the Department's transportation planning activities in the region and provide it to the MPOs for inclusion as an informational element in the MPO's OWP (23 CFR 450.314). See Sample Format.

**SAMPLE FORMAT**

Activity	Activity Description	Product(s)	Comments

## Appendix D

### OWP Review

The following checklist can assist District staff as they review draft OWPs. MPOs may also use the list to draft more complete OWPs. The list is illustrative, not inclusive.

#### **The Content of the OWP Should:**

- \_\_\_\_\_ Respond appropriately to planning priorities, including the PEAs, and the seven TEA-21 Planning Factors.
- \_\_\_\_\_ Comply with state and federal planning/administration program requirements and policies.
- \_\_\_\_\_ Contain the MPO's annual certification to FHWA/FTA. The MPO planning process should address the major issues facing the region and should be conducted in accordance with all applicable laws.
- \_\_\_\_\_ Respond adequately and appropriately to District concerns, regional transportation issues, regional transportation planning activities and transportation problems and needs facing the region.
- \_\_\_\_\_ Respond to appropriate TEA 21 and SB 45 requirements, planning emphasis and focus areas, or explain why any of these is not met.
- \_\_\_\_\_ Reflect the progress made by the MPO in carrying out the previous year's program and its performance capabilities. All anticipated continuing activities should be clearly identified.
- \_\_\_\_\_ Contain a work element in the Draft OWP for each discretionary planning grant application for i.e., FHWA Partnership Planning and/or FTA Section 5313 (b) funds. (Include only **approved** discretionary-funded projects in the Final OWP.)
- \_\_\_\_\_ Include an information element, which lists the transportation planning activities being done by other transportation planning entities in the region.
- \_\_\_\_\_ Show non-planning sources for all project work in the OWP, e.g., PIDs, transit marketing, ride matching, transportation engineering and Transportation Development Act (TDA) required activities, etc.

#### **The Financial Information in the OWP Should:**

- \_\_\_\_\_ Reflect the accurate fund source, type and amount for each work element and show the same source, type and amount in the Budget Revenue Summary.
- \_\_\_\_\_ Include the correct local match for each federal fund source and type.
- \_\_\_\_\_ Show consistency between the fund amounts in the individual work elements and the fund amounts in the Budget Revenue Summary.
- \_\_\_\_\_ Identify any carryover from prior years by fund source, type, amount and fiscal year within work elements and the Budget Revenue Summary.

#### **The Work Elements in the OWP Should:**

- \_\_\_\_\_ Illustrate an organized and logical flow of work element tasks and activities from project inception to project completion.

- \_\_\_\_\_ Contain a reasonable task statement; estimated project schedule with completion date; detailed fund source, type and amounts; description of any related work accomplished in previous OWPs; and final products/activities for each work element.
- \_\_\_\_\_ Identify all planning contracts in both the task and budget statements.

District regional planning staff are responsible for obtaining District and Headquarters review of Draft OWPs. A copy of each Draft OWP and a transmittal memo requesting review, highlighting work activities of particular interest to the reviewer, stating a reasonable date by which comments should be returned, and identifying the District Coordinator to whom they are to be returned, should be sent to:

- Division of Aeronautics, Attn: Leslie Snow, Office of Aviation Planning
- Division of Local Assistance  
(Headquarter Division of Local Assistance requests to see Final OWPs only. Some District Local Assistance Engineers may be interested in seeing draft OWPs. District should contact them directly and ask if they are interested.)  
Attn: North – Denix Anbiah  
Attn: South – Fardad Falakfarsa
- Division of Mass Transportation, Attn: Gale McIntyre
- Division of Research and Innovation, Attn: Pat Conroy
- Division of Rail, Attn: Warren Weber
- Division of Transportation Planning  
Attn: Sharon Scherzinger, Office of Regional and Interagency Planning  
Attn: Pam Korte, Office of State Planning  
Attn: Patricia Weston, Office of Advanced & System Planning  
Attn: Tom Neumann, Office of Community Planning  
Attn: Helen Rainwater, Office of Project/Plan Coordination  
Attn: Richard Nordahl, Office of Goods Movement
- Any other Headquarters or District staff deemed appropriate for OWP review, depending on the situation.

All MPO OWPs (drafts, final adopted and approved, amendments) should be sent to:

Federal Highway Administration  
Region IX  
Attention: Sue Kiser  
980 Ninth Street, Suite 400  
Sacramento, CA 95814

Federal Transit Administration  
Region IX  
Attention: Ray Sukys  
201 Mission Street, Suite 2210  
San Francisco, CA 94105

Please note: FTA requests two copies of any OWP submittals.

## **Appendix E**

### **Context Sensitive Planning**

Context sensitive planning is about identifying the needs and concerns of low-income, minority, Native American and other under-represented communities in the planning process to prevent or mitigate negative impacts and to improve their mobility, access and quality of life. This is accomplished through improved public participation in decision-making to achieve a balance between the need for investing in our transportation infrastructure and preserving community values. A context sensitive solution is reached through a continuous process of education and engagement that empowers diverse communities to become active stakeholders in planning.

Determining how to include all communities in planning as stakeholders requires a close examination and use of demographic information, community organizations and community leaders, innovative and culturally sensitive approaches, and updating policies and procedures to make improved public participation part of an institution's mission and philosophy.

Presidential Executive Order 12898, which calls on all Federal agencies to make environmental justice (context sensitive planning) part of their mission, actually amplifies Title VI of the 1964 Civil Rights Act. The Intermodal Surface Transportation Efficiency Act (ISTEA) and its successor, the Transportation Equity Act for the Twenty-first Century (TEA-21), stress the importance of considering social, economic and environmental concerns during metropolitan and statewide transportation planning and project development.

Context sensitive planning does not simply mean adding new wording to policies in order to comply with Federal laws—rather, it requires a fundamental change in how we perceive and practice public participation. Some methods to ensure inclusive participation of Title VI groups include the following:

- Early Identification and engagement of low-income, minority and Native American communities through the use of demographic information and direct contacts with community members to identify their transportation issues, needs and priorities.
- Use of (bilingual) interpreters and ethnic media to reach communities that normally would not be reached with English language media.
- Close and continuous involvement of Community Based Organizations (CBOs) and community leaders to build relationships and trust and to include the suggestions and insights of these groups and individuals in planning and conducting outreach.
- Listening to all voices and responding to communities. This is essential to context sensitive planning. This builds relationships, which can also have a long-term benefit for future planning and project development.
- Forming citizens advisory committees of community members who have an interest in community development to help ensure more successful outcomes. This should begin in the early phases of planning and maintained through design, construction, operation and maintenance of the transportation system. This enables agencies to respond to issues before they become major problems and allows transportation agencies to keep pace with changes in their communities.

The California Department of Transportation and the United States Department of Transportation support solutions that improve mobility and safety while complementing and enhancing community values and objectives, and fostering responsible stewardship of the environment. The California Department of Transportation is committed to supporting and assisting agencies in the implementation of context sensitive solutions.

## **Appendix F**

### **Intelligent Transportation Systems (ITS)**

Prior to the Intermodal Surface Transportation Efficiency Act (ISTEA), intelligent transportation systems (ITS) were mainly traffic management applications, e.g., signal coordination, ramp metering, changeable message signs, and loop detectors, but with ISTEA, a new paradigm emerged: integrated operations, developed on a multi-modal, system-wide basis.

ISTEA proposed the National ITS Architecture, a definition of User Services, and required Early Deployment Plans (EDPs), wherein regions tailor ITS to their needs. EDPs, also called Strategic ITS Deployment Plans or SDPs, examine how transportation problems can be addressed with ITS, and determine which User Services are the highest priority for the region. The plans identify regional transportation system needs based on extensive stakeholder input and apply technology and innovative system management to enhance the safety and efficiency of all modes.

The ITS concepts of ISTEA are carried forward into the Transportation Equity Act for the 21<sup>st</sup> Century (TEA-21), but whereas ISTEA set aside funds to ‘kick start’ ITS, TEA-21 encourages ITS to be funded with traditional sources such as Congestion Mitigation and Air Quality (CMAQ), Surface Transportation Program (STP) and National Highway System (NHS).

Two of the challenges of ITS planning are: 1) integration of new transportation strategies and projects into plans and programs, and 2) coordination and cooperation among jurisdictions (e.g., city-, county-, or region-wide, statewide, nationwide, or even internationally) to implement those strategies and projects.

ITS involves working collaboratively to find innovative transportation solutions.

Some opportunities for mainstreaming ITS include:

1. Using the MPO/RTPA as the forum for coordination, communication, and consensus building across all modes, by partners, decision-makers, stakeholders, service providers and community members.
2. Systems- and project-level evaluation of ITS enhancements as part of the options under review; and consideration of the interface of communications and control systems through architecture and standards, to determine whether ITS offers a better alternative.
3. Incorporation of ITS into Plan and Program scopes of work and budgets. A “regional blueprint”, developed as part of an EDP or RTP, allows assessment of how various blends of ITS elements contribute to system performance.
4. Currently, most California regions have a completed EDP or Strategic ITS Deployment Plan (SDP) that can be incorporated into the RTP. Projects from the EDP/SDP can be incorporated in the project listing and prioritized for consideration in the RTIP.
5. Programming for both capital and operation and maintenance costs. In addition, to CMAQ, STP or NHS, funds may also be available through sources linked to transit, rail, aeronautics, goods movement, and non-highway modes, pooling of development fees, or the private sector.

## **Appendix G**

### **Mainstreaming ITS Planning**

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